

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 7,315,837

Inventor(s): Ronald E. Sloan et al.

Conf. No. 1151

Serial No.: 09/929,735

Issued: January 1, 2008

Title: COMMUNICATION INTERFACE  
FOR A FINANCIAL MODELING  
AND COUNSELING SYSTEM

Docket No: 60021-375702

Commissioner for Patents  
Certificate of Correction Branch  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CERTIFICATE OF CORRECTION**  
**PURSUANT TO 37 C.F.R. 1.323**

Dear Sir:

Transmitted herewith is a Certificate of Correction for U.S. Patent 7,315,837 issued on January 1, 2008. Upon reviewing the patent, the patentee noted that there were errors, which should be corrected.

Attached are copies of the following:

- 1) Updated Filing Receipt of 04/02/2002 showing the correct Domestic Priority data as claimed by application; and
- 2) Copies of page 1 of the Preliminary Amendment and the post card showing receipt of the Preliminary Amendment by the USPTO. In the Preliminary Amendment, the Cross Reference to Related Applications section of the Specification was inadvertently removed. This Request for Certificate of Correction is submitted to correct this error.

The Commissioner is hereby authorized to charge any fees associated with this communication to Deposit Account No. 50-1901.

Respectfully submitted,



Robert M. Hirning, U.S. Reg. No. 59,215  
OPPENHEIMER WOLFF & DONNELLY LLP  
45 South Seventh Street, Suite 3300  
Minneapolis, Minnesota 55402  
Telephone: (612) 607-7345  
Facsimile: (612) 607-7100  
Email: [RHirning@oppenheimer.com](mailto:RHirning@oppenheimer.com)



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/929,735	08/13/2001	2165	912	60021.375702	14	24	3

29838  
 OPPENHEIMER WOLFF & DONNELLY, LLP (ACCENTURE)  
 1400 PAGE MILL ROAD  
 PALO ALTO, CA 94304

CONFIRMATION NO. 1151  
 UPDATED FILING RECEIPT



\*OC000000007767072\*

Date Mailed: 04/02/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

#### Applicant(s)

Ronald E. Sloan, Toronto, CANADA;  
 Stephen R. Slutsky, Toronto, CANADA;

#### Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/705,290 11/01/2000  
 AND A CIP OF 09/431,389 11/01/1999  
 AND A CIP OF 09/452,273 11/30/1999  
 AND A CIP OF 09/579,849 05/25/2000

#### Foreign Applications

If Required, Foreign Filing License Granted 09/10/2001

Projected Publication Date: 07/11/2002

Non-Publication Request: No

Early Publication Request: No

RECEIVED	
OPPENHEIMER WOLFF & DONNELLY LLP	
APR 08 2002	
DOC.#	40021 375702
CAL'D	4/13/02
FILED	OMD meg

#### Title

Communication interface for a financial modeling and counseling system

#### Preliminary Class

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Receipt is hereby acknowledged by the Commissioner of Patents & Trademarks of the following items in the Utility Patent application of

Inventor: Sloan et al.  
Title: COMMUNICATION INTERFACE FOR A FINANCIAL MODELING  
AND COUNSELING SYSTEM  
Serial No.: 09/929,735

Preliminary Amendment  
 Postcard

Atty/Secy: Edwards/atp  
Date: December 12, 2002  
File No.: 60021/375702

TC2: 612812 v01 12/12/2002

# DOCKETED

Receipt is hereby acknowledged by the Commissioner of Patents & Trademarks of the following items in the Utility Patent application of

Inventor: Sloan et al.  
Title: COMMUNICATION INTERFACE FOR A FINANCIAL MODELING  
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TC2: 612812 v01 12/12/2002

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Sloan et al.  
Serial No.: 09/929,735  
Filing Date: August, 13, 2001  
For: COMMUNICATION INTERFACE FOR A FINANCIAL MODELING AND COUNSELING SYSTEM

Docket No.: 60021-375702  
Group Art Unit: 2165  
Examiner: Unassigned

Assistant Commissioner of Patents  
Washington, D.C. 20231

I hereby certify that this paper and/or fee is being deposited with the United States Postal Service First Mail service on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, DC 20231, on December 12, 2002.

Ann Pommier  
Ann Pommier

**PRELIMINARY AMENDMENT**

Sir:

Please amend the Application and consider the remarks as hereafter provided.

This is a clean copy of the specification and claims. Attached hereto is a marked-up version of the changes made to the specification and claims. The attached pages are captioned "Version with Markings to Show Changes Made."

**In the Specification:**

Please amend the specification starting with paragraph 1 of page 1 as follows:

**FIELD OF INVENTION**

The present invention relates generally to a web-enabled computerized information systems and more particularly to Internet-based financial modeling and counseling systems.

**BACKGROUND OF THE INVENTION**

Financially prudent individuals typically engage in extensive planning to develop plans that will aid them in achieving their financial goals. Traditionally, many individuals have entrusted their financial plans to personal financial advisors.

**UNITED STATES PATENT AND TRADEMARK OFFICE**  
**CERTIFICATE OF CORRECTION**

PATENT NO : 7,315,837  
DATED : January 1, 2008  
INVENTOR(S) : Ronald E. Sloan et al.

PAGE 1 OF 1

It is certified that errors appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

Title Page

Insert: --Related U.S. Application Data--

then after "Related U.S. Application Data"

Insert --(63) Continuation of application No. 09/705,290, filed on Nov. 1, 2000, now abandoned,  
and a continuation-in-part of application No. 09/431,389, filed on Nov. 1, 1999, now abandoned,  
and a continuation-in-part of application No. 09/452,273, filed Nov. 30, 1999, now abandoned,  
and a continuation-in-part of application No. 09/579,849, filed May 25, 2000, now abandoned.--

Claim 7, column 17, line 8, after "options" insert --to--

Claim 14, column 18, line 48, delete "an" and insert --and--

MAILING ADDRESS OF SENDER:  
Robert M. Hirning (Reg. No. 59,215)  
OPPENHEIMER WOLFF & DONNELLY LLP  
SUITE 3300, PLAZA VII  
45 SOUTH SEVENTH STREET  
MINNEAPOLIS, MN 55402-1609  
Attorney Docket No.: 60021-375702

PATENT NO. 7,315,837

No. of additional copies       

This collection of information is required by 37 CFR 1.322, 1323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. This form is estimated to take 1.0 hours to complete, including gathering, preparing, and the submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and /or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.